Project Charter

for the

North Dakota Department of Corrections & Rehabilitation

Syscon Project Charter NDDOCR 10g Upgrade
Version 1.2, October 14, 2005

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VERSION CONTROL INFORMATION

Version	Change History
1.0	Preliminary draft – for NDDOCR review and feedback.
1.1	Change made by Len for Internal Review
1.2	Second Draft for NDDOCR review

CONFIRMATIONS AND APPROVALS

Signature: _____   Signature: _____

Name: _____   Name: _____

Position: _____   Position: _____

Syscon   NDDOCR

Date: _____   Date: _____

ABOUT THIS DOCUMENT

Purpose

This document is the guiding framework for the North Dakota Department of Corrections & Rehabilitation (NDDOCR) Version 10g Upgrade Project for Adult and Juvenile ('the NDDOCR Project'), and is intended to act as a bridge between the Software Upgrade Agreement (which will be forthcoming from NDDOCR's Legal Department) and the detailed Project Plan for the NDDOCR Project.

Scope

This document details the general approach which Syscon Justice Systems (SJS) and NDDOCR will use in executing the NDDOCR Project, and includes a high-level project plan, a definition of roles and responsibilities of all stakeholders, the billing arrangements that apply to this project and the oversight mechanisms to be used.

Related Documents

Several documents are considered inseparable from this Project Charter in defining the objectives, constraints, approach, terms and conditions, etc. for the NDDOCR Project. These include the following:

1. The Official Project Plan which will govern the NDDOCR Project and be continuously updated,
2. The existing Offender Management System Software License Agreement.
3. The Software Upgrade Agreement associated with this upgrade (to be forthcoming from NDDOCR's legal department.)
4. The Software Services Tag 6i Upgrade Estimate of May 20, 2004, for Adult and Juvenile.
5. The Purchase Order for $350,000. sent from NDDOCR to Syscon on April 27, 2005 (PO# 527039).

Reading Guide

All those who perform project management, oversight, or contract administration functions for the NDDOCR Project should read all of this Project Charter carefully.

Senior management should be thoroughly familiar with commitments for the NDDOCR Project related to their functional areas embodied in this Project Charter.

Those who perform primarily execution roles for the NDDOCR Project should make themselves aware of the general intent and content of this Project Charter.

Document Maintenance

This document is owned by the SJS Project Manager, and must be version-controlled using SJS's Configuration Management Policies and Procedures.

Suggestions for modifications, additions, and deletions will be triaged according to SJS's Change Management Policies and Procedures, and accepted updates will be applied using SJS Configuration Management Policies and Procedures.

PROJECT OBJECTIVES

The principal objectives of this project are as follows:

- To implement an upgraded Jail Management System for North Dakota DOCR (NDDOCR) to facilitate the services provided to staff and inmates into a comprehensive software system known as TAG.

- To enable NDDOCR to disseminate and share large amounts of information in an effective and efficient method.

- To provide an upgraded large-scale automation system for NDDOCR to tie in administrative duties to the delivery of services to inmates and allow for fluid communication throughout the agency.

- More specifically:

  - To provide hardware recommendations and instructions to enable NDDOCR to move from a client/server environment to a centralized web environment,

  - To gain user acceptance of the upgraded TAG system, including custom forms, reports, and interfaces,

  - To gain user acceptance of the upgraded web imaging,

  - To train/retrain NDDOCR staff on the System Configuration of the upgraded TAG system,

  - To thoroughly Train the Trainers on the new functionality in the upgraded TAG system,

  - To support the TAG system throughout the TAG implementation, during Go Live, and as defined in the Support Agreement.

- To achieve the above outcomes within the defined <u>budget</u> and <u>schedule</u>.

- To establish an agreed mechanism for executing this project.

- To contribute to SJS's on-going process improvement program, and thereby advance our capability to reliably deliver high-quality products and services, on time and on budget.

HIGH-LEVEL PROJECT PLAN

The following is intended primarily to provide management and senior project staff with a high-level view of the NDDOCR Project.

The Project Plan must be maintained using SJS's Configuration Management Policies and Procedures, and modifying the Project Plan requires the use of SJS's Change Management Policies and Procedures.

The Project Duration is based on the corresponding Pro Forma Project plan with an approximate 4-month duration. It is very important to note that should any milestones not be reached within the specified duration, that duration-based expenses may be required on a time and materials basis.

Major Deliverables

The major deliverables from this project include the following:

PROJECT MANAGEMENT

- Project Management: Conference Calls, Meetings, etc.
- Issue Management during NDDOCR testing stage.

PREPARATION

- Technical Specs for TAG 10g - Hardware/Software requirements & recommendations.
- Installation of TAG 10g to Test/Train environment on client site and instruction on set up of Production.
- Remote and Onsite support of Production System setup

TRAINING

- Document for training purposes.
- Remote hardware set-up and configuration for WebEx for training session.
- Remote System Administration training (Adult and Juvenile)
- Remote Train the Trainer on upgraded User Screen functionality of TAG 10g (Adult and Juvenile)

DELIVERY

A. Modules Listed according to Licenses
- Upgrade to NDDOCR's currently licensed modules which are:

> TAG Kernel
>
> Offences in Custody
>
> Trust
>
> CTAG Kernal
>
> Case Administration
>
> File Tracking
>
> IWP (added later)
>
> Visits (added later)
>
> Imaging

Programs and Services

▪ Upgrade of NDDOCR's currently unlicensed modules, which are:

Billing of Services (Juvenile)

Workload Management Module, Assign/Transfer Officer (Primary Ownership) screens

B. Modules and functions listed according to actual usage

The following is further detail of the Upgrade according to forms actually used by NDDOCR in TAG 4.10.

▪ Upgrade Package specific to NDDOCR configuration complete with:

1. Functionality for the Adult version 10g of the TAG Application including:
   - ▪ TAG Institutional Kernel
   - ▪ Search Assign and Historical Summary
   - ▪ Admission
   - ▪ Header Block
   - ▪ Booking
   - ▪ Schedules
   - ▪ Movements
   - ▪ Classification
   - ▪ Programs and Services
   - ▪ Legal Orders
   - ▪ Visits
   - ▪ Gangs
   - ▪ Offences in Custody
   - ▪ Community
   - ▪ Payroll
   - ▪ Integrated Word Processing
   - ▪ Trust
   - ▪ Imaging
   - ▪ System
   - ▪ Reports
- ▪ Custom Forms
- ▪ Custom Reports

2. Functionality for the Juvenile version 10g of the TAG Application including:
   - ▪ TAG Institutional Kernel
   - ▪ Search Assign and Historical Summary
   - ▪ Admission

- Header Block
- Booking
- Schedules
- Movements
- Classification
- Programs and Services
- Legal Orders
- Visits
- Gangs
- Offences in Custody
- Community
- Paper File Tracking
- Integrated Word Processing
- Imaging
- System
- Reports
- Trust
- Billing of Services
- Payroll
  - Custom Forms
  - Custom Reports

- Documentation on upgraded 10g Functionality

TESTING
- Version Control Support during NDDOCR testing period.
- Onsite Subject Matter Specialist assistance on TAG 10g upgraded functionality during NDDOCR testing period (Adult and Juvenile)

GO LIVE
- Remote Subject Matter Specialist assistance during Go Live
- Onsite Subject Matter Specialist assistance during Go Live

Schedule Milestones

Project progress will be assessed on a continuous basis (see Oversight Mechanism below), with key review points being the following Milestones (there may be several of each, depending on whether or not the deliverables consist of multiple sub-deliverables):

- Delivery of Project Plan and Charter Complete
- Delivery Complete (including Custom Functionality)
- Installation Complete
- Training Complete
- Data Conversion Dry Runs Complete
- Acceptance Testing Complete (Readiness Test)
- Go Live Complete
- Warranty Period Complete

Formal project reviews involving the Steering Committee and all needed project personnel will be conducted, and any required corrective action determined. A formal record of each review must be generated, and placed into the Project Folder.

Resource Summary

This project requires the following resources, applied at the correct time and place, i.e. as specified in the detailed Project Plan, in order to be successful:

SJS Human Resources:

SJS proposes the following resources for this project. Due to the nature of the activities involved, we expect that many of these resources would not need to be full-time on this project. In some cases only the manager of a group of like resources has been identified.

In the table below, the most likely candidate for each of the roles required in the project has been identified.   Due the detailed timing of individual tasks, equivalent resources may be substituted.

Role	Name	Experience Focus
Project Manager	Len Voth	Project Management
Subject Matter Experts	Nathan Hedges/Berril Perks/Antonio Lee/Karl Stelting	Institutional/Community/Financial/Legal
Development Manager	Bill Dorfmann	Applications
Development Lead	Rajesh Sirohi	All Modules
Engineering Specialist	David Wang	Oracle Database and Tools
Engineering Specialist	Eric Tarasenko	System and Network Configuration

Test Specialist	Don Roy	Quality Control, Automated Testing
Documentation Lead	Jak King	Documentation
Training Lead	Nathan Hedges/Karl Stelting	Train-the-Trainer
CM Specialist	Tim Lee	Configuration Management
Quality Manager	Ella Goldblat	QA, Process Improvement

NDDOCR Human Resources:

The following paragraphs discuss the type of resources SJS expects NDDOCR to provide to ensure an efficient and cost-effective implementation.

- **Project Management** -- the complement to SJS's Project Manager, provided by NDDOCR, would manage on-site delivery activities. These two resources serve as the focal point for all project activities and the forum for project wide coordination.

  - This personnel will take an active part in sign off of this Project Charter and the corresponding Project Plan and NDDOCR's respective Action Project Plan,

  - This personnel will report any known issues to the SJS Project Manager or Support department in a timely manner,

- **Subject Matter Expertise/Module Sponsors** -- NDDOCR should expect to involve personnel experienced in the business processes that this upgraded system will address. Generally drawn from a cross-section of the organization and selected to provide as comprehensive and complete a view of the existing organization as possible, these team members are crucial to the success of the project, as configuration of the upgraded system will be based on their knowledge of business requirements.

  - They will acknowledge upgraded custom forms and reports acceptability when they are received

  - They will actively participate in the creation of Test Cases

  - They will actively participate in the Acceptance Testing based on the above mentioned Test Cases

  - They will actively participate in the delivery of System Administration training

  - They will actively participate in the delivery of Train the Trainer, and

  - They will serve as the arbiters of application readiness when final acceptance testing is being conducted.

- **Data Expertise** -- A set of skills will need to be assembled to support the development of reports and forms. Generally drawn from the group that currently support the existing applications, these project participants will bring conversancy with data, its use, its meaning and, most importantly, its location and characteristics. These personnel will also test the programs to verify that they convert the data accurately.   The group will also support the development of reports.

- **Technical Support** -- A large project generally requires its own infrastructure. Workstations for project team members need to be configured to connect to the multiple databases necessary to support not only configuration and early testing but training as well. It has been SJS's experience that successful project teams usually incorporate both conventional I/T support (server, client and network) as well as DBA skills. These skills are required both to manage these environments and to specify and test the target production environmental. These resources will team with SJS technical staff to jointly implement the first environment and then establish a 'promotion to production' configuration, appropriate for your needs.

- **Change Management** -- Large organizations such as NDDOCR frequently find it advantageous to involve change management expertise, familiar with the communications and organizational expectation management that frequently accompanies implementation of advanced systems. The need for these skills is generally based on the magnitude of the business transformation being planned in conjunction with the implementation of the upgraded system. These skills frequently overlap with the need for team members experienced in training and facilitation.

- **Project Sponsors** --The need for tough decisions and trade-offs arise in all projects. SJS would look to NDDOCR to establish a person or committee to whom these decisions would be raised. Serving as the reporting point for project management, these participants would generally include one or more senior managers with a stake in the outcome of the project to whom project progress would be reported on a regular but infrequent basis (monthly or quarterly) and who might be called upon to address significant issues of scope, resource, or schedule.

Other NDDOCR Resources:

Without cost to SJS, NDDOCR shall provide full co-operation and assistance to enable SJS to provide the Deliverables, including:

- The workspace reasonably requested by SJS,

- A classroom setting with a dedicated terminal (or other Product accessible devices) per trainee for training purposes (only if training is provided on site),

- A minimum of one fully trained individual for each shift during the Go Live Phase,

- Electronic access to the Application Package Programs either through a modem or an Internet (i.e., Webex) connection to be used solely for the purpose of Services and/or support as may be required,

- Installation and configuration of all third party components for the Web Server middle tier as required for this implementation,

- A test environment to facilitate delivery by SJS of the software deliverables and the training services, and

- Properly maintained equipment to be used by SJS in providing Services.

ROLES AND ACCOUNTABILITIES

The NDDOCR Project will be executed by individuals identified with specific functions within a number of participating organizations. In addition, there are other individuals and organizations that will be impacted by the activities and outcomes of the project. Collectively, these individuals are termed 'stakeholders'.

Each stakeholder has a definable accountability to the project, where 'accountability' is taken to be a set of responsibilities that should be matched to a set of authorities suitable to discharging their responsibilities.

Stakeholders, Relationships

The primary stakeholders in this project, and the relationships between them, are:
- North Dakota Department of Corrections and Rehabilitation, represented by Mr. David Huhncke, Project Manager
- Syscon Justice Systems Ltd., represented by Mr. Len Voth, Project Manager.

North Dakota DOCR Accountabilities

The accountabilities of NDDOCR in this project include the following responsibilities and authorities:
- Participation in the maintenance of a detailed Project Plan,
- Execution of NDDOCR's assignments as per the Project Plan,
- Creation and maintenance of an Action Project Plan consistent with the official Project Plan,
- Participation in the development of objective Acceptance Criteria for all deliverables and Completion Criteria for all phases of the project as a whole,
- Presentation of all information required in a timely manner, as per the Project Plan, to enable SJS to produce all deliverables,
- Examination of all project deliverables according to the Project Plan,
- Acceptance of all project deliverables when they meet the relevant Acceptance Criteria,
- Acceptance of all phases when they meet the relevant Completion Criteria,
- Acceptance of the project as a whole when it meets the relevant Completion Criteria,
- Contribution of sufficient resources to execute the Project Plan, and
- Identification of project issues and participation in assigned due dates for their resolution.

SJS Accountabilities

The accountabilities of SJS in this project include the following responsibilities and authorities:
- Create and lead the maintenance of the Upgrade Project Plan,
- Monitor progress against the detailed Project Plan and issue Status Reports on a regular basis,
- Track all project issues, including resolution actions/accountabilities/due dates,
- Identify all information to be provided to NDDOCR to produce all deliverables,
- Execute SJS's assignments as per the Project Plan,
- Provide all project deliverables according to the Project Plan,
- Escalate all issues not resolved in the required period of time,

- Provide sufficient resources to execute the Project Plan, and
- Identify all project issues and participate in assigning due dates for their resolution.

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Conflict Resolution Mechanism

The following mechanism will be used to resolve any conflicts between stakeholder priorities, positions and interests that arise during the project:

- **Peer-to-Peer Negotiation.** The individuals in conflict will first attempt to resolve the conflict through a discipline known as Principled Negotiation, as described in "Getting to Yes: Negotiating Agreement Without Giving In" by Roger Fisher and William Urn.
- **Group Consensus.** If Peer-to-Peer Negotiation fails, the parties in conflict will cause a group-level consideration of the situation, with the goal of obtaining group consensus. Here, 'group' means the smallest collection of stakeholders that are directly affected by the issue at hand.
- **Escalation.** If neither Peer-to-Peer Negotiation nor Group Consensus successfully resolves the conflict, the issue will first be escalated to the stakeholder least senior to the parties in conflict and directly impacted by non-resolution of the issue. If this fails to resolve the issue, it will be escalated to the stakeholder next least senior to the parties in conflict. This pattern will be repeated as required until the issue is resolved.

PROJECT ACCEPTANCE/COMPLETION

SJS understands that NDDOCR desires that the project's final outcome be completely satisfactory to NDDOCR, that this will be achieved without price or schedule extension, and that the project will not be declared complete until NDDOCR is comfortable.

NDDOCR understands that SJS desires that construction of the project's final outcome will be feasible within the project's resource and schedule constraints, that NDDOCR will be satisfied with what can feasibly be constructed, and that the project will be declared complete on schedule.

SJS and NDDOCR further understand that these goals are essentially antagonistic, and that a relatively objective mechanism must be agreed upon to permit both parties to declare this project 'successful'. SJS and NDDOCR therefore agree that it is critical to rigorously apply the following principles:

- Acceptance of the final outcome is a natural consequence of progressively building confidence through acceptance of interim deliverables.
- Acceptance of earlier deliverables does not automatically force acceptance of later deliverables, but does narrow the definitional options in later deliverables.
- The 'reasonable man' principle applies to acceptance of each deliverable, i.e. any rational, unbiased person would make the same judgment as any other.

Narrowing Implementation Options

NDDOCR and SJS acknowledge that it is in principle not possible to sufficiently specify the final outcome of this project so that all stakeholders know, prior to actually constructing the final outcome, precisely what its detailed characteristics are, and whether it can be constructed within the project's resource and schedule constraints.

SJS and NDDOCR acknowledge that early-stage specifications for the final outcome usually permit multiple implementations, only some of which are acceptable to NDDOCR (usually on the basis of operational issues), and only some of which are acceptable to SJS (usually on the basis of core product definition, and technical and financial issues).

NDDOCR and SJS commit to finding an implementation that is acceptable to both, and agree that the project's methodology is sufficient to do this. This methodology starts with statements about business outcomes (which can usually be achieved with a broad range of implementation options), develops statements about system functionality (which narrows the range of implementations), refines these into statements of system presentation and internal operation (which almost uniquely determine the implementation), and finally creates the final outcome, by definition a unique implementation.

Progressively Building Acceptance

SJS and NDDOCR acknowledge that the project's Phase-based methodology, even as it progressively narrows the implementation options for the final outcome, progressively builds confidence that acceptance of interim deliverables will lead to a satisfactory final outcome.

NDDOCR and SJS also acknowledge that early deliverables 'force' acceptance of later deliverables only to the extent that the later deliverables are uniquely determined from the earlier deliverable. Where this unique determination does not occur, later deliverables will be accepted on their own merit, according to the 'reasonable man' principle.

SJS and NDDOCR acknowledge that later deliverables, in particular the project's final outcome can only emerge gradually and naturally from earlier deliverables if neither party introduces or removes deliverable elements that make derived and root deliverables incompatible, as judged by the 'reasonable man' principle.

Deliverable Acceptance

This section must be interpreted in the context of the remainder of this Project Acceptance/Completion section of the Project Charter. Each deliverable in this project:

- Will have objective, measurable Deliverable Acceptance Criteria defined for it, negotiated jointly by SJS and NDDOCR in advance of review/acceptance activity. These criteria apply only to the specific deliverable and not later/earlier deliverables.
- Be reviewed by the customer within the timeframe allocated in the Project Plan (this may involve more than one review/revise cycle). A Deliverable Variance Report will be provided to SJS by NDDOCR within this timeframe, and will constitute the entire list of errors/omissions/exceptions/etc.
- Must be accepted before SJS will perform any work on other deliverables dependent on the deliverable to be accepted.
- Be accepted when all Deliverable Acceptance Criteria are shown to have been met, according to the 'reasonable man' principle. Provisional acceptance, with specific exceptions, will be encouraged to prevent unnecessary project delay.
- Will be deemed accepted at the end of the allocated timeframe for review/acceptance.

Phase Completion

SJS's Lifecycle defines Exit Criteria for each project Phase; these will be reviewed and revised as necessary to the satisfaction of both NDDOCR and SJS. When all Exit Criteria for a Phase are shown to have been met, according to the 'reasonable man' principle, the Phase will be deemed 'complete'.

Project Completion

The project will be deemed 'complete' when all project Phases have been deemed 'complete' (see Phase Completion).

Progressively Building Acceptance
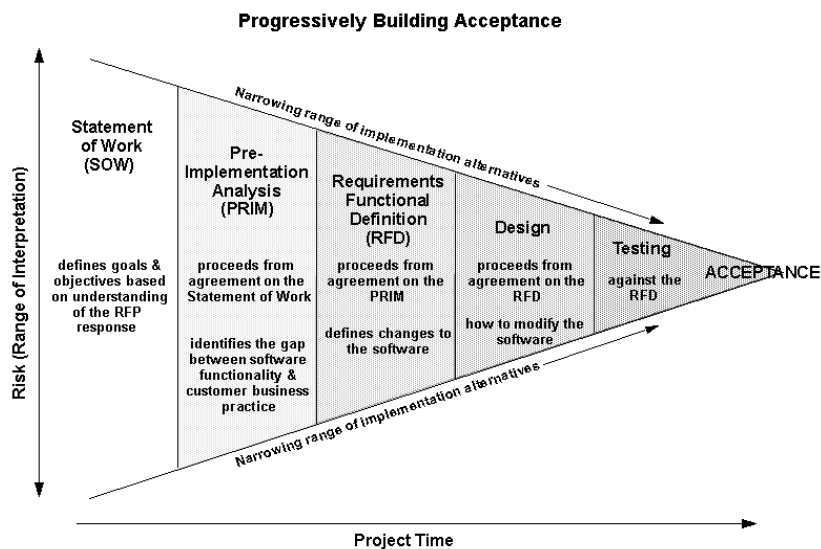
PROJECT FINANCIAL MANAGEMENT

Below is an itemization of the physical deliverables.

- Project Plan
- Project Charter
- CD with COTS and Custom Version 10g Functionality
- Review Document for Training Purposes
- Documentation for Hardware and Software Requirements
- Discussion Document on Upgraded Functionality

The items in the two sections below provide an overview of the onsite and remote services that are included within this Project. The maximum portion of that corresponding service is shown in parenthesis following the item. Please note that that effort (i.e. time) over and above the effort indicated would be billed at a time and materials hourly rate.

A major goal of this project is to keep the project within the quoted budget from the Software Services Estimates sent May 30, 2004. However, in the case that overages are unavoidable, SJS would formally notify NDDOCR when 75% of the budget estimate was reached and again when and 100% of the budget was reached. NDDOCR may request a new budget estimate at 75% effort reached to avoid project delays. If overages occur, SJS will provide resource consumption when billing for these portions.

Offsite services (i.e., remote effort) included within this Project are as follows:

1. Remote subject matter assistance on TAG 10g new functionality during NDDOCR testing period (up to 3 days remote effort).

2. Remote Issue Management (i.e., Project Management) during NDDOCR testing stage (up to 5 days remote effort).

3. Remote SME training on new functionality during NDDOCR Adult Readiness Test period (up to 3 days remote effort)

4. Remote SME training on new functionality during NDDOCR Juvenile Readiness Test period (up to 3 days remote effort)

5. Version Control Support during NDDOCR testing period (up to 5 days remote effort).

6. Remote hardware set up and configuration for WebEx for training session (up to 1 day remote effort).

7. Remote Hardware Requirements Discussions (up to 1 day remote effort).

8. Remote System Administration Training (up to 2 day remote effort)

- The above remote effort will be scheduled into the Project Plan as necessary.

- It is important not to confuse *duration* with *effort*. Effort is the total time involved, with all parties considered. *One day of remote or onsite effort includes eight (8) person hours.* Some of these hours may be put forth by one SJS employee and others may come from another, to make up the full eight (8) hour duration. For example, Remote Issue Management during NDDOCR testing stage could include hours from Subject Matter

Specialists, Configuration Management personnel, Project Management and Product Management personnel.

Onsite services included within this Project are as follows:

a) Adult

1. Onsite Installation of TAG 10g to Test/Train environment (Adult and Juvenile) and instruction on set up of Production (up to 5 days onsite effort).

2. Onsite Subject Matter Specialist assistance during Go Live (up to 5 days onsite effort)

a) Juvenile

3. Onsite Subject Matter Specialist assistance during Go Live (up to 5 days onsite effort)

- The above onsite effort will be scheduled into the Project Plan as necessary.

- The original **Expenses** estimate for the above onsite services are included in the Upgrade Estimation Spreadsheet of May 20, 2004. The revised estimate reflects a total of 3 onsite visits as detailed immediately above. It is based on Syscon's billing for onsite related costs at $30 per diem, hotel rates at North Dakota DOCR government housing billing rates and airfares billed at actual incurred costs. The revised estimate is attached as Appendix 2).

- Days from one onsite service may be shifted to another onsite service to decrease the duration of one onsite service and increase the duration of another.

- Invoices of all Service Deliverables and Expenses in proper form and approved by NDDOCR shall be paid by NDDOCR within thirty (30) days of receipt.

- Customer shall pay all applicable sales, use, withholding and excise taxes, and any other assessments against the Customer in the nature of taxes or duties however designated on the Product or in this Agreement, exclusive of taxes based on the net income of SJS.

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Time and Materials Portions

For all other services or products not covered by this Agreement, including those services over and above the maximum number of hours available as outlined in the section above, NDDOCR shall pay SJS on a time and materials basis for any onsite or remote services performed, unless otherwise agreed to in writing.

For these portions, all SJS effort will be tracked and reported to NDDOCR. When effort on each of the above exceeds 75% of the budget estimate, SJS will formally notify NDDOCR of this and provide a new budget estimate, which will re-set the basis for such tracking and reporting.

NDDOCR may at any time request that SJS cease work on any of the above portions, and acknowledges that SJS may expend up to 5% of the budget estimate to bring the portion to an orderly 'hold' state.

NDDOCR acknowledges that all effort expended on the above portions is legitimate time-and-materials work and is billable and payable by NDDOCR under the agreed terms and conditions.

Time and Materials rate is $150/hour.

Billing Triggers

Certain Milestones (see Schedule Milestones in High-Level Project Plan) are billing triggers, i.e. achievement of these Milestones automatically cause billing to occur.

Payment shall be made within 30 days of receipt of invoice: (Note that the following amounts exclude all related Expenses).

EVENT	AMOUNT PAYABLE
NDDOCR acceptance/signature of this Project Charter and the corresponding project plan.	$10,000
Acceptance of the installation of Adult Customized Version 10g NDDOCR package.	$70,000
Adult Readiness/Acceptance Test signoff	$70,000
Go-live of the Adult package	$27,000
Acceptance of the installation of the Juvenile Customized Version 10g NDDOCR package.	$65,000
Juvenile Readiness/Acceptance Test signoff	$65,000
Go-live of the Juvenile package	$23,000
TOTAL	**$330,000**

OVERSIGHT MECHANISM

Steering Committee

NDDOCR will assemble a Steering Committee for the duration of the project to:
- Provide guidance to the combined SJS/NDDOCR Project Team,
- To expedite NDDOCR actions required for project success,
- To hold the Project Team accountable for meeting its commitments, and
- To act as an additional communication channel between SJS and NDDOCR at the Executive level.

The Steering Committee will include representation from:
- NDDOCR's Executive Management,
- Each NDDOCR Functional Area affected, and
- SJS Executive Management.

The members of the Steering Committee will have sufficient authority to make decisions on issues raised by the Project Team and to direct activities within their functional area sufficient to meet NDDOCR's obligations to the project.

The Steering Committee will meet monthly, and all meetings will be sufficiently documented so as to create an accurate record of all decisions and directives.

NDDOCR Project Director

NDDOCR will appoint a Project Director, to whom the NDDOCR Project Manager will report. This individual will be generally knowledgeable on NDDOCR's business, will have sufficient authority to acquire and direct NDDOCR project resources.

NDDOCR Project Manager

NDDOCR will appoint a Project Manger, to whom the SJS Project Manager will report. This individual will be generally knowledgeable on NDDOCR's business, will have sufficient authority to assign NDDOCR project resources, and will have sufficient project management skills to manage all NDDOCR project activities.

Project/Action Plans

There will be, at all times, an official Project Plan governing the NDDOCR Project. The SJS Project Manager will own this plan, and it will be maintained according to SJS's Configuration Management Policies and Procedures.

In addition, NDDOCR will maintain a current Action Project Plan consistent with the official Project Plan. This Action Plan will be sufficient to direct all NDDOCR participation in the official Project Plan for all duties performed by NDDOCR personnel.

Project QA Plan, Test Plan

SJS will author an Internal Project QA Plan and a Test Plan to guide all SJS activities associated with avoiding and remedying defects.

NDDOCR is strongly encouraged to author a similar plan to guide its internal project-related activities associated with creation of NDDOCR-produced artifacts and deliverables.

Change Management

Scope control for the NDDOCR Project will be performed according to SJS's Change Management Policies and Procedures.

Status Reporting

The SJS Project Manager will provide the NDDOCR Project Manager with formal Project Status Reports on a regular basis.

Deliverable Release Mechanism

All deliverables from SJS will be provided according to SJS's Configuration Management Policies and Procedures.

RISK ASSESSMENT AND MITIGATION

The following describes the principal sources of risk to the NDDOCR Project, and the methods to be used to mitigate them. This Risk Assessment and Mitigation will be updated by the SJS Project Manager as the project proceeds:

- **Requirements Change**. Over the course of the Project, there is a potential for requirements change in the form of previously unknown requirements, genuinely changing requirements, or interpretation differences of existing requirements.

  Risk Mitigation Strategy: The phase-based methodology to be used in the Project is well suited to progressively refining requirements and the means to meet them. Both NDDOCR and SJS will carefully construct and review all deliverables so as to avoid errors of commission and omission. Change Orders will be used to control the nature and impact of requirements change.

- **Deliverables Review and Acceptance.** SJS expects that NDDOCR's formal review and acceptance of Project deliverables could take much longer than allowed for in the Project Plan.

  Risk Mitigation Strategy: NDDOCR will streamline the deliverable review and acceptance process and will assign the necessary resources to meet the schedule. SJS will not proceed with Project work dependent on a deliverable until it is formally accepted, even if this will result in significant schedule slippages. SJS will file (interim) Notices of Delay after specified amounts of time have passed.

- **Overlapping Project Streams.** The expected timeframe for Final System Acceptance requires that the Project be structured into several overlapping streams of activity. SJS is concerned that the NDDOCR Project Team may have insufficient capability to handle the number of overlapping Project streams involved.

  Risk Mitigation Strategy: Increase the number of NDDOCR full time employees assigned to the Project and segregate accountability for overlapping streams. Avoid the tendency to have NDDOCR team members immersed in a broad spectrum of Project activities.

- **Time and Materials Estimates.** Some tasks in the Project may be required to be executed on a Time and Materials basis. Estimates for these Tasks are based on previous experience, but since no situation is identical to another, these estimates are at some degree of risk.

  Risk Mitigation Strategy: SJS will continuously monitor resource consumption against estimates, and propose Change Orders to adjust deliverable definitions, resource estimates, and/or schedules.

- **User Resistance.** SJS expects some minor user resistance to the introduction of the upgraded TAG application and the potential changes in daily work regimens.

  Risk Mitigation Strategy: Craft a User Community Communication Plan to gradually gain user acceptance to the changes that are expected. Assign a senior NDDOCR user community staff member early in the Project to manage and execute this process.

- **Lack of Customer Oversight**. It is our experience that customer Project oversight, particularly Steering Committee operation and Action Plan execution, often fall below levels needed to assure project success.

Risk Mitigation Strategy: Syscon will remind NDDOCR of their obligations in this regard. NDDOCR will select Steering Committee members with an eye to their commitment to participate. In addition, NDDOCR/Syscon may pre-schedule Steering Committee meetings and employ teleconferencing, videoconferencing and other methods to assure maximum participation.

- **Collateral Defects**. TAG is a complex product and changes to one part of the product can inadvertently cause or expose previously undetected defects elsewhere in the product.

  Risk Mitigation Strategy: Syscon's internal project methodology includes several steps to flush out these situations, including a Change Impact study performed at the beginning of each Design activity. In addition, our QA Plans and Test Plans specifically focus on identifying these situations.

- **Customer Staff Overload**. In addition to deliverables acceptance delays, it is a common occurrence that customer personnel fall behind on their obligations to the project due to other assignments.

  Risk Mitigation Strategy: Syscon will be diligent in reminding NDDOCR, and escalate these reminders as necessary, of NDDOCR's obligations, pointing out the impact of not meeting these obligations in a timely fashion, and reminding NDDOCR of the usefulness of Action Plans and their monitoring.

APPENDICES

1. **Detailed Project Plan**
2. **Expenses Summary Analysis**